

PCT/PTO-1390
(REV 11-98)TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371ATTORNEY'S DOCKET NUMBER
1151-4158US1U.S. APPLICATION NO. (If known, see 37 CFR 1.51
TB **09/701588**INTERNATIONAL APPLICATION
PCT/US99/13975INTERNATIONAL FILING DATE
21 June 1999 (21.06.99)PRIORITY DATE CLAIMED
20 June 1998 (20.06.98)TITLE OF INVENTION
ARTIFICIAL T HELPER CELL EPITOPES AS IMMUNE STIMULATORS FOR SYNTHETIC PEPTIDE IMMUNOGENSAPPLICANT(S) FOR DO/EO/US
WANG, Chang Yi

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371 (b) and PCT Articles 22 and 39 (1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International application into English (35 U.S.C. 371(c)(2)). with oath
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). And Power of Attorney
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included.

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or Information:
 - Copy of the Form PCT/RO/101Request
 - Copy of Specification
 - Verified Certification of Express Mailing Date (International Application) under 37 C.F.R. § 1.10(c)
 - Check in the amount of \$782.00 for the fee; (which includes \$ 40.00 for recordation of the assignment);
 - Statement under 37 CFR 1.821(f) sequence Listing; and
 - Return receipt postcard

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.53(a)) TBA 09/701588		INTERNATIONAL APPLICATION NO. PCT/US99/13975		ATTORNEY DOCKET NO. 1151-4158US1																																																													
17. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2) paid to USPTO and International Search Report not prepared by the EPO or JPO.....\$1000.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO...\$860.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2) paid to USPTO.....\$710.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33 (1) - (4).....\$690.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1) - (4).....\$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT = Surcharge of \$130 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)). <table border="1" style="width:100%; border-collapse: collapse;"><thead><tr><th style="width:20%;">CLAIMS</th><th style="width:20%;">NUMBER FILED</th><th style="width:20%;">NUMBER EXTRA</th><th style="width:20%;">RATE</th><th style="width:20%;"></th></tr></thead><tbody><tr><td>Total claims</td><td>48 - 20</td><td>28</td><td>X \$18.00</td><td>\$ 504.00</td></tr><tr><td>Independent claims</td><td>2 - 3 =</td><td>0</td><td>X \$80.00</td><td>\$ --</td></tr><tr><td colspan="3">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td><td>+ \$270.00</td><td>\$ 270.00</td></tr><tr><td colspan="4">TOTAL OF ABOVE CALCULATIONS =</td><td>\$ 1484.00</td></tr><tr><td colspan="4">Reduction of 1/2 for filing by small entity, if applicable. Applicant is a Small Entity and claims Small Entity Status.</td><td>\$ 742.00--</td></tr><tr><td colspan="4">SUBTOTAL =</td><td>\$ 742.00</td></tr><tr><td colspan="4">Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/>20 <input type="checkbox"/>30 months from the earliest claimed priority date (37 CFR 1.492(f)).</td><td>\$ --</td></tr><tr><td colspan="4">TOTAL NATIONAL FEE =</td><td>\$ 742.00</td></tr><tr><td colspan="4">Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property</td><td>\$ 40.00</td></tr><tr><td colspan="4">TOTAL FEES ENCLOSED</td><td>\$ 782.00</td></tr></tbody></table> <table border="1" style="width:100%; border-collapse: collapse;"><tr><td rowspan="2" style="width:70%;"></td><td style="width:15%;">Amount to be refunded:</td><td style="width:15%;">\$</td></tr><tr><td>charged</td><td>\$</td></tr></table>				CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		Total claims	48 - 20	28	X \$18.00	\$ 504.00	Independent claims	2 - 3 =	0	X \$80.00	\$ --	MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00	\$ 270.00	TOTAL OF ABOVE CALCULATIONS =				\$ 1484.00	Reduction of 1/2 for filing by small entity, if applicable. Applicant is a Small Entity and claims Small Entity Status.				\$ 742.00--	SUBTOTAL =				\$ 742.00	Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$ --	TOTAL NATIONAL FEE =				\$ 742.00	Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$ 40.00	TOTAL FEES ENCLOSED				\$ 782.00		Amount to be refunded:	\$	charged	\$	CALCULATIONS PTO USE ONLY	
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	charged	\$																																																															

a. ☒ A check in the amount of \$782.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 13-4500, ORDER NO.1151-4158US1. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:
Morgan & Finnegan LLP
345 Park Avenue
New York, NY 10154-0053

Telephone: 212-758-4800
Telecopier: 212-751-6849

SIGNATURE

NAME

29,323
REGISTRATION NO.

IN THE UNITED STATES

[x] RECEIVING OFFICE (RO/US)
[x] DESIGNATED OFFICE (DO/US)
[x] ELECTED OFFICE (EO/US)

INTERNATIONAL APPLICATION NO.	INTERNATIONAL FILING DATE	PRIORITY DATE CLAIMED
PCT/US99/13975	21 June 1999 (21.06.99)	20 June 1998 (20.06.98)
TITLE OF INVENTION		
ARTIFICIAL T HELPER CELL EPITOPES AS IMMUNE STIMULATORS FOR SYNTHETIC PEPTIDE IMMUNOGENS		
APPLICANT(S)		
UNITED BIOMEDICAL INC., et al.		

Assistant Commissioner for Patents
Box PCT
Washington, D.C. 20231
Attention: IPEA/US

VERIFIED CERTIFICATION OF EXPRESS MAILING DATE
(INTERNATIONAL APPLICATION (37 CFR 1.10(c)))

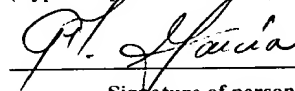
I declare that on 29 November 2000 I deposited with the United States Postal Service in an envelope "Express Mail, Post Office to Addressee", bearing Label Number EL704522179US, addressed to the "Commissioner for Patents, Washington, D.C. 20231" DO/EO/US and having an express mail certification which I executed, the following papers:

Transmittal Letter to The US Designated/Elected Office (DO/EO/US) for Filing Under 35 USC 3371
Copy of Form PCT /RO/101
Copy of Specification
Check in the amount of \$782.00 for the fee (which includes \$40.00 for recordation of the assignment)
Statement under 37 CFR 1.821(f) Sequence Listing
Return Postcard

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application of any patent issuing thereon.

F. Garcia

(Typed or printed name of person making this verified statement)



(Signature of person making this verified statement)

Date 29 November 2000

(Verified Certification of Express Mailing Date (International Application) [13-12])

**TRANSMITTAL LETTER TO THE
UNITED STATES RECEIVING OFFICE**

Date	21 June 1999
International Application	To be Assigned
Attorney Docket No.	1151-4158PCI

09/701588

I Certification under 37 CFR 1.10 (if applicable) **26 Rec'd PCT/PTO 29 NOV 2000**

EJ146543125US	21 June 1999
Express Mail mailing number	Date of Deposit

I hereby certify that the application/correspondence attached hereto is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Assistant Commissioner for Patents, Washington, D.C. 20231.

<i>Zoya V. Chernina</i>	Zoya V. Chernina
Signature of person mailing correspondence	Typed or printed name of person mailing correspondence

II ☒ New International Application

TITLE	ARTIFICIAL T HELPER CELL EPITOPES AS IMMUNE STIMULATORS FOR SYNTHETIC PEPTIDE IMMUNOGENS	Earliest priority date (Day/Month/Year)	20 June 1998
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SCREENING DISCLOSURE INFORMATION: In order to assist in screening the accompanying international application for purposes of determining whether a license for foreign transmittal should and could be granted and for other purposes, the following information is supplied. (Note: check as many boxes as apply):

- A. ☐ The invention disclosed was not made in the United States.
 B. ☐ There is no prior U.S. application relating to this invention.
 C. ☒ The following prior U.S. application(s) contain subject matter which is related to the invention disclosed in the attached international application. (NOTE: priority to these applications may or may not be claimed on form PCT/RO/101 (Request) and this listing does not constitute a claim for priority.)

application no.	09/100,412	filed on	20 June 1998 (20.06.98)
application no.		filed on	

- D. ☒ The present international application ☒ contains additional subject matter not found in the prior U.S. application(s) identified in paragraph C. above. The additional subject matter is found on pages see attached sheet and ☐ DOES NOT ALTER ☐ MIGHT BE CONSIDERED TO ALTER the general nature of the invention in a manner which would require the U.S. application to have been made available for inspection by the appropriate defense agencies under 35 U.S.C. 181 and 37 CFR 5.1. See 37 CFR 5.15

III ☐ A Response to an Invitation from the RO/US. The following document(s) is(are) enclosed:

- A. ☐ A Request for An Extension of Time to File a Response
 B. ☐ A Power of Attorney (General or Regular)
 C. ☐ Replacement pages:

pages		of the request (PCT/RO/101)	pages		of the figures
pages		of the description	pages		of the abstract
pages		of the claims			

- D. ☐ Submission of Priority Documents

Priority document		Priority document	
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- E. ☐ Fees as specified on attached Fee Calculation sheet form PCT/RO/101 annex

IV. ☐ A Request for Rectification under PCT 91 ☐ A Petition ☐ A Sequence Listing Diskette

V. ☐ Other (please specify):

The person signing this form is the:

<input type="checkbox"/> Applicant	Maria C.H. LIN
<input checked="" type="checkbox"/> Attorney/Agent (Reg. No.) 29, 323	Typed name of signer
<input type="checkbox"/> Common Representative	<i>Maria C.H. Lin</i> Signature

09/701588

Docket No. 1151-4158PC1

426 Rec'd PCT/PTO 29 NOV 2000

PCT INTERNATIONAL APPLICATION TRANSMITTAL LETTER
(Continued)

IID. Regarding the International Application of the United Biomedical Inc., et al.

There is a United States Patent Application, Serial No. 09/100,412, filed 20 June 1998, entitled ARTIFICIAL T HELPER CELL EPITOPES AS IMMUNE STIMULATORS FOR SYNTHETIC PEPTIDE IMMUNOGENS in the name of the inventor Chang Yi WANG. This application was filed one year ago and contains subject matter which is less than that of the accompanying International Application.